

IN THE UNITED STATES

## PATENT AND TRADEMARK OFFICE

APPLICANT(S): RICHARD W. FRIESEN AND MARK C. KLIZAS

APPLICATION NO.: 09/651,301

FILING DATE: August 30, 2000

TITLE: User Interface for Semi-Fungible Trading

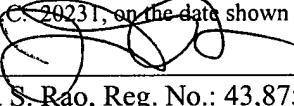
EXAMINER: Not Yet Known

GROUP ART UNIT: 2161

ATTY. DKT. NO.: 5069

## CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner For Patents, Washington, D.C. 20231, on the date shown below:

Dated: 11/20/00By:   
Dana S. Rao, Reg. No.: 43,875

BOX MISSING PARTS  
COMMISSIONER FOR PATENTS  
WASHINGTON, D.C. 20231

RESPONSE TO NOTICE TO FILE MISSING  
PARTS OF APPLICATION

SIR:

Responsive to Notice to File Missing Parts dated October 18, 2000 received in the above-identified patent application, enclosed are:

- a copy of the Notice to File Missing Parts;
  - an original, signed Declaration;
  - a signed Verified Statement
- Applicant respectfully submits that since this application was entitled to Small Entity Status when filed, as established with the enclosed original, signed, Verified Statement, the fee for filing as a large entity as indicated in the Notice to File Missing Parts is inappropriate

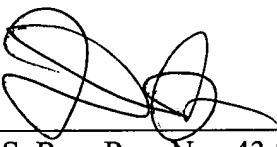
and that the filing fee submitted with this application as originally filed is sufficient to cover the filing fees for this application;

payment in the amount of \$65.00 for the surcharge;

Other:

Respectfully submitted,  
RICHARD W. FRIESEN AND MARK C. KLIZAS

Dated: 11/20/00

By: 

Dana S. Rao, Reg. No.: 43,875  
Fenwick & West LLP  
Two Palo Alto Square  
Palo Alto, CA 94306  
Tel.: (650) 858-7666  
Fax.: (650) 494-1417



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
 UNITED STATES PATENT AND TRADEMARK OFFICE  
 WASHINGTON, D.C. 20231  
[www.uspto.gov](http://www.uspto.gov)

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/651,301	08/30/2000	Richard W. Friesen	5069

Dana S Rao  
 Fenwick & West LLP  
 Two Palo Alto Square  
 Palo ALto, CA 94306



## FORMALITIES LETTER



\*OC00000005483107\*

Date Mailed: 10/18/2000

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
  
- **The balance due by applicant is \$ 130.**

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*A copy of this notice MUST be returned with the reply.*

Customer Service Center

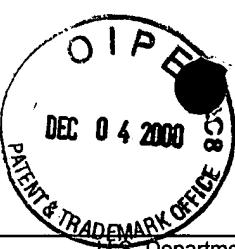
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

12/06/2000 WKORDMA 00000024 09651301

01 FC:205

65.00 DP



SECTOR 11

PTO/SB/21 (modified)

Approved for use through xx/xx/xx, OMB 0651-0031

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

0001/PTO Rev. 10/95	U.S. Department of Commerce Patent and Trademark Office		Application Number <b>09/651,301</b>
		Filing Date <b>August 30, 2000</b>	
		First Named Inventor <b>Richard W. Friesen</b>	
		Group Art Unit Number <b>2161</b>	
		Examiner Name <b>Not Yet Known</b>	
Total Number of Pages in This Submission <b>9</b>		Attorney Docket Number <b>5069</b>	

**ENCLOSURES (check all that apply)**

- |   |  |
|---|--|
| <input checked="" type="checkbox"/> Fee Transmittal Form (in duplicate)<br><input checked="" type="checkbox"/> Check Enclosed   | <input type="checkbox"/> Issue Fee Transmittal<br><input type="checkbox"/> Letter to Chief Draftsperson<br><input type="checkbox"/> Formal Drawing(s):<br><input type="checkbox"/> [ ] Sheet(s) of Figure(s) [ ] |
| <input checked="" type="checkbox"/> Return Receipt Postcard   | <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences  |
| <input checked="" type="checkbox"/> Response to Notice to File Missing Parts  | <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)   |
| <input type="checkbox"/> Assignment & Recordation Cover Sheet   | <input type="checkbox"/> Certified Copy of Priority Document(s)  |
| <input checked="" type="checkbox"/> Declaration   | <input type="checkbox"/> After Allowance Communication to Group  |
| <input type="checkbox"/> Small Entity Statement   | <input type="checkbox"/><br><input type="checkbox"/><br><input type="checkbox"/><br><input type="checkbox"/><br><input type="checkbox"/><br><input type="checkbox"/>   |
| <input type="checkbox"/> Information Disclosure Statement & PTO-1449<br><input type="checkbox"/> Copies of IDS Cited References |  |
| <input type="checkbox"/> Request for Corrected Filing Receipt   |  |
| <input type="checkbox"/> Request for Correction of Recorded Assignment  |  |
| <input type="checkbox"/> Amendment/Response: [ ] Page(s)<br><input type="checkbox"/> After Final                                |  |
| <input type="checkbox"/> Status Request   |  |
| <input type="checkbox"/> Revocation and Power of Attorney   |  |

**REMARKS:**

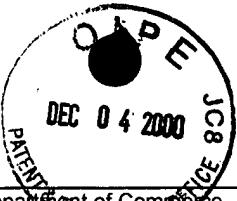
**SIGNATURE OF ATTORNEY OR AGENT**

Signature:		
Attorney/Reg. No.:	Dana S. Rao/Reg. No. 43,875	Dated: 11/20/00

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence, including the enclosures identified above, is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231 on the date shown below. If the Express Mail Mailing Number is filled in below, then this correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service pursuant to 37 CFR 1.10.

Signature:		
Typed or Printed Name:	Dana S. Rao	Dated: 11/20/00
Express Mail Mailing Number (optional):		



PTO/SB/17 (10-00)(modified)  
Approved for use through 09/29/01, OMB 0651-0032  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

0002/PTO(modified) Rev. 10/2000	U.S. Department of Commerce Patent and Trademark Office	<b>Complete if Known</b>	
		Application Number	09/651,301
		Filing Date	August 30, 2000
		First Named Inventor	Richard W. Friesen
		Group Art Unit	2161
		Examiner Name	Not Yet Known
<b>FEE TRANSMITTAL</b>		Attorney Docket Number	5069
<b>TOTAL AMOUNT OF PAYMENT</b> Subtotal (1) + Subtotal (2) + Subtotal (3) =		(\$65.00)	

<b>METHOD OF PAYMENT</b>		<b>FEES CALCULATION (continued)</b>																																																						
<b>1. The Commissioner is hereby authorized to:</b>		<b>3. ADDITIONAL FEES</b>																																																						
<input type="checkbox"/> Charge the indicated fees to the below mentioned deposit account. <input checked="" type="checkbox"/> Charge any additional fee required under 37 CFR 1.16 - 1.21 or credit any over payments to the below mentioned deposit account. <sup>†</sup> <input checked="" type="checkbox"/> Applicant claims small entity status See 37 CFR 1.27		Large Entity	Small Entity	Fee Description																																																				
		Fee Code/Fee	Fee Code/Fee	Fee Due																																																				
		105/\$130	205/\$65	Surcharge - late filing fee or oath																																																				
		127/\$50	227/\$25	Surcharge-late provisional filing fee or cover sheet																																																				
		147/\$2,520	147/\$2,520	For filing a request for reexamination																																																				
		115/\$110	215/\$55	Extension for response within first month <sup>†</sup>																																																				
		116/\$390	216/\$195	Extension for response within second month <sup>†</sup>																																																				
		117/\$890	217/\$445	Extension for response within third month <sup>†</sup>																																																				
		118/\$1,390	218/\$695	Extension for response within fourth month <sup>†</sup>																																																				
		128/\$1,890	228/\$945	Extension for response within fifth month <sup>†</sup>																																																				
		119/\$310	219/\$155	Notice of Appeal																																																				
		141/\$1,240	241/\$620	Petition to revive unintentionally abandoned application																																																				
		142/\$1,240	242/\$620	Utility Issue Fee (Or Reissue)																																																				
		143/\$440	243/\$220	Design Issue Fee																																																				
		122/\$130	122/\$130	Petitions to the Commissioner																																																				
		126/\$180	126/\$180	Submission of Information Disclosure Statement																																																				
		179/\$710	279/\$355	Request for Continued Examination (RCE)																																																				
		581/\$40	581/\$40	Recording each patent assignment per property (times number of properties)																																																				
		146/\$710	246/\$355	Filing a submission after final rejection (37 CFR 1.129(a))																																																				
		149/\$710	249/\$355	For each additional invention to be examined (37 CFR 1.129(b))																																																				
		Other fee (specify):																																																						
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		<b>SUBTOTAL (3) (\$65.00)</b>																																																						
<b>2. CLAIMS</b>																																																								
<table border="1"> <thead> <tr> <th>Large Entity</th> <th>Small Entity</th> <th>Fee Description</th> </tr> <tr> <th>Fee Code/Fee</th> <th>Fee Code/Fee</th> <th>Fee Description</th> </tr> </thead> <tbody> <tr> <td>103/\$18</td> <td>203/\$9</td> <td>Claims in excess of 20</td> </tr> <tr> <td>102/\$80</td> <td>202/\$40</td> <td>Independent claims in excess of 3</td> </tr> <tr> <td>104/\$270</td> <td>204/\$135</td> <td>Multiple dependent claim</td> </tr> <tr> <td>109/\$80</td> <td>209/\$40</td> <td>Reissue independent claims over original patent</td> </tr> <tr> <td>110/\$18</td> <td>210/\$9</td> <td>Reissue claims in excess of 20 and over original patent</td> </tr> </tbody> </table>		Large Entity	Small Entity	Fee Description	Fee Code/Fee	Fee Code/Fee	Fee Description	103/\$18	203/\$9	Claims in excess of 20	102/\$80	202/\$40	Independent claims in excess of 3	104/\$270	204/\$135	Multiple dependent claim	109/\$80	209/\$40	Reissue independent claims over original patent	110/\$18	210/\$9	Reissue claims in excess of 20 and over original patent	<table border="1"> <thead> <tr> <th colspan="2">(Col. 1)</th> <th colspan="2">(Col. 2)</th> <th colspan="2">(Col. 3)</th> <th rowspan="2">Fee Due</th> </tr> <tr> <th>For</th> <th>No. of Existing Claims</th> <th>Highest No. Previously Paid For</th> <th>Extra**</th> <th>Fee</th> </tr> </thead> <tbody> <tr> <td>TOTAL</td> <td></td> <td>20 or 0</td> <td>=</td> <td>x</td> <td>=</td> </tr> <tr> <td>INDEP</td> <td></td> <td>3 or 0</td> <td>=</td> <td>x</td> <td>=</td> </tr> <tr> <td colspan="6" style="text-align: center;">[ ] First presentation of multiple dependent claim</td> <td></td> </tr> </tbody> </table>			(Col. 1)		(Col. 2)		(Col. 3)		Fee Due	For	No. of Existing Claims	Highest No. Previously Paid For	Extra**	Fee	TOTAL		20 or 0	=	x	=	INDEP		3 or 0	=	x	=	[ ] First presentation of multiple dependent claim						
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[ ] First presentation of multiple dependent claim																																																								
		* Subtract the greater number of Col. 2			<b>SUBTOTAL (2) (\$0.00)</b>																																																			
		** If the difference between Col. 1 and Col. 2 is less than zero, then enter "0" in Col. 3																																																						
<b>SUBMITTED BY</b>				<b>Complete (if applicable)</b>																																																				
Typed or Printed Name		Dana S. Rao		Reg. Number	43,875																																																			
Signature				Date	11/20/00																																																			

<sup>†</sup>Request for Extension of Time per 37 CFR 1.136 (a)(3) made hereby  
Rev. 09/30/2000